

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-048-10-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/11/2022

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1.1.1 was superseded by DAA-0048-2013-0008-0004

Item 1.1.2 was superseded by DAA-0048-2013-0008-0004

Item 1.1.3 was superseded by DAA-0048-2013-0008-0004

Item 1.1.4 was superseded by DAA-0048-2013-0008-0004

Item 1.1.5 was superseded by DAA-0048-2013-0008-0001

Item 3.1 was superseded by DAA-0048-2013-0008-0008

Item 3.2 was superseded by DAA-0048-2013-0008-0008

Item 3.3 was superseded by DAA-0048-2013-0008-0013 and DAA-0048-2013-0008-0014

Item 3.4 was superseded by DAA-0048-2013-0001-0001

Item 3.5 was superseded by DAA-0048-2013-0008-0008

Item 3.6 was superseded by DAA-0048-2013-0008-0008

Item 4.1.1. was superseded by DAA-0048-2013-0008-0006

Item 4.1.2 was superseded by DAA-0048-2013-0008-0006

Item 4.2.1 was superseded by DAA-0048-2013-0008-0006

Item 4.2.2 was superseded by DAA-0048-2013-0008-0006

Item 4.5 was superseded by DAA-0048-2013-0008-0009

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Item 4.6.1 was superseded by DAA-0048-2013-0008-0009

Item 4.6.2 was superseded by DAA-0048-2013-0008-0009

Item 4.8 was superseded by DAA-0048-2013-0008-0002

Item 5.1 was superseded by DAA-0048-2013-0008-0004

Item 6.1.1 was superseded by DAA-0048-2013-0001-0015

Item 6.1.2 was superseded by DAA-0048-2013-0001-0015

Item 6.1.3 was superseded by DAA-0048-2013-0001-0015

Item 6.1.4 was superseded by DAA-0048-2013-0001-0015

Item 6.1.8 was superseded by DAA-0048-2013-0001-0013

Item 6.1.9 was superseded by DAA-0048-2013-0001-0013

Item 6.1.10 was superseded by DAA-0048-2013-0001-0013

Item 6.1.11 was superseded by DAA-0048-2013-0001-0015

Item 6.2.1 was superseded by DAA-0048-2013-0001-0015

Item 6.4 was superseded by DAA-0048-2013-0001-0015

Item 6.5.1 was superseded by DAA-0048-2013-0008-0001

Item 6.5.2 was superseded by DAA-0048-2013-0008-0002

Item 8.1 was superseded by DAA-0048-2013-0001-0006

Item 8.2 was superseded by DAA-0048-2013-0001-0006

Item 8.3 was superseded by DAA-0048-2013-0001-0006

Item 8.4 was superseded by DAA-0048-2013-0001-0004

Item 8.6 was superseded by DAA-0048-2013-0008-0005

Item 8.7 was superseded by DAA-0048-2013-0001-0002

Item 8.8.1 was superseded by DAA-0048-2013-0001-0006

Item 8.8.2 was superseded by DAA-0048-2013-0001-0005

Item 9.3.1 was superseded by DAA-0048-2013-0008-0011

Item 10.1 was superseded by DAA-0048-2013-0008-0003

Item 10.2 was superseded by DAA-0048-2013-0001-0010

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Memo to File re N1-048-10-001**

May 13, 2022

The SF-115 for N1-048-10-001 states that the schedule supersedes 28 previous schedules. Attachment B to the original submission of this schedule amplifies this statement to state that these 28 schedules are either “superseded” or “made obsolete by the OS Records Manual Revision.”

Analysis conducted in 2022 concluded that 14 of those 28 schedules were not, in fact, either superseded or made obsolete by N1-048-10-001. These 14 schedules are:

NC1-048-77-01  
NC1-048-79-01  
NC1-048-79-02  
NC1-048-79-03  
N1-048-93-003  
N1-048-93-004  
N1-048-01-001  
N1-048-01-002  
N1-048-05-001  
N1-048-05-006  
N1-048-05-009  
N1-048-05-010  
N1-048-05-013  
N1-048-06-004

Cover pages were added to those records schedules where items were indeed superseded.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-048-10-1</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received <i>10/7/09</i>	
FROM: (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary		In accordance with the provisions of 44 U.S.C., 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER J. Peter Langsdorf	4. TELEPHONE NUMBER 202-513-0804	DATE <i>10/10/09</i>	ARCHIVIST OF THE UNITED STATES <i>DeA</i>
5. AGENCY INFORMATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>37</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE October 1, 2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Ray J. McInerney</i>		TITLE Office of the Secretary Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	[See Attached List of Records Descriptions and Requested Disposition Authority.]	N1-048-77-01 N1-048-79-01 through N1-048-79-03 N1-048-93-03 N1-048-93-04 N1-048-01-01 through N1-048-01-03 N1-048-05-01 through N1-048-05-10 N1-048-05-12 N1-048-05-13 N1-048-06-01 through N1-048-06-06 N1-048-06-08	

# Office of the Secretary Records Manual

## Revision – FY 2010

### Section 1 – Executive Management (Secretary, Secretary’s Immediate Office, Assistant Secretary, Deputy Secretary, Deputy Assistant Secretary)

**Item 1.1 – Policy Development and Support Files for High-Level Officials.** These files contain documents received, generated, and maintained in the Office of the Secretary, to support the review, analysis, and development of policy on issues of significance to the Department at the level at which they are collected. Typically, they consist of files, organized alphabetically by issue or topic, containing copies of documents including, but not limited to the following: correspondence; reports; legal analyses and court documents; briefing papers and talking points; memoranda; meeting agendas, handouts, and summaries; email communications; and hand-written notes.

Generally, these files reflect the broad scope of issues on which the primary official on whose behalf they are collected and maintained was consulted or engaged during his/her tenure with the Department. They do not include the development of policy on single issues (e.g., Privacy Act policy) or groups of closely-related issues (e.g., policies issued by the Chief Information Officer) maintained by agency officials charged with managing these programs; these records are covered by subject-specific schedules.

**Item 1.1.1 – Secretary’s Files.** These files are maintained on behalf of the Secretary of the Department of the Interior.

Disposition: Permanent. Cut off at end of Secretary’s tenure. Maintain in office of record for 4 years after cut-off, then retire to Records Center. Transfer to NARA 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-03

**Item 1.1.2 – Deputy Secretary’s/Assistant Secretaries’ Files.** These files are maintained on behalf of the Deputy Secretary of the Department of the Interior and Assistant Secretaries within the Department of the Interior.

Disposition: Permanent. Cut off at end of agency official’s tenure. Maintain in office of record for 4 years after cut-off, then retire to Records Center. Transfer to NARA 8 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-03

**Item 1.1.3 – Secretary’s Counselors’ Files.** These files are maintained on behalf of the Secretary’s counselors in the Immediate Office of the Secretary.

Disposition: Permanent. Cut off at end of agency official’s tenure. Maintain in office of record for 4 years after cut-off, then retire to Records Center. Transfer to the NARA 6 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-03

**Item 1.1.4 – Deputy Assistant Secretaries’ Files.** These files are maintained on behalf of the Deputy Assistant Secretaries within the Department of the Interior.

Disposition: Temporary. Cut off at end of the agency official’s tenure. Maintain in office of record for 2 years after cut-off, then retire to Records Center. Destroy 6 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-03

**Item 1.1.5 – Other Senior Agency Officials’ Files.** These files are maintained on behalf of other senior agency officials who maintain similar broad, policy development and support files not covered by other subject-specific schedules.

Disposition: Temporary. Cut off at end of the agency official’s tenure. Maintain in office of record for 2 years after cut-off, then retire to Records Center. Destroy four 4 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-03

**Section 2 – Office of Congressional and Legislative Affairs (OCL)**

**[Items merged into Section 4, due to discussion with OCL regarding records obligations.]**

### **Section 3 – Office of Communications (OCO)**

**Item 3.1 – Public Information Releases.** These files contain records issued by the Office of the Secretary (OS) to keep the public informed of the activities of the Department through the news media. They contain press and news releases, press conference transcripts, biographical sketches, guest editorials, letters to the editors and other similar materials. They do not include the Spanish-language versions of the more significant of these documents, which are posted to the Department's website at doi.gov, and are covered by item 2305 DOI Internet Website Files. They also do not include press releases and other similar materials issued by the Department's component bureaus and offices, which are covered by their respective bureau and office schedules.

These records are organized chronologically and maintained in binders by calendar year.

Disposition: Permanent. Cut off at end of each presidential term, e.g. January 2009. Transfer to NARA after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-7

**Item 3.2 – DOI Speeches.** These files contain copies of speeches and talking points prepared for the Secretary of the Interior and other senior Departmental officials to present at official events. These speeches cover the full spectrum of the Department's programs and activities. Files contain two versions of some speeches: a text as prepared for delivery, and a text as actually delivered, representing the precise words spoken by the Secretary on the official occasion. They do not include the Spanish-language versions of the more significant of these documents, which are posted to the Department's website at doi.gov, and are covered by item 2305 DOI Internet Website Files. They also do not include speeches and talking points prepared for delivery by officials of the Department's component bureaus and offices, which are covered by their respective bureau and office schedules.

These records are organized chronologically and maintained in file folders by calendar year.

Disposition: Permanent. Cut off at end of each presidential administration. Transfer to NARA after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-7

### **Item 3.3 – Historically Significant Audio/Visual Recordings and Indexes.**

These files contain audio and audio/visual documents recorded/filmed by or for OS. These records document significant moments in the Department's history and/or noteworthy Departmental accomplishments, or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form. They may be



accompanied by written materials (in paper or electronic format) related to the subject of the recording; such documents may include programs prepared for and distributed at the official screening of a film, lists of individuals invited to attend the screening of a film, letters inviting them to the screening, and press releases announcing the screening of a film; documents illuminating the historical background of the subject of a recording; documents addressing the historical significance of a recording; and/or documents providing a word-for-word text transcription of the audio contents of a recording. Films and video recordings included in these files may be recorded, edited, and produced by OS employees or by outside parties, such as motion picture or television studios.

Records also include any finding aids, logs, or indexes, including an electronic log of video and motion picture recording sessions, indicating date, subject, videographer, requesting Interior office, and assignment number of session.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 2 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-3

**Item 3.4 – DOI Internet Website Files.** These files contain records prepared for and promulgated on the Department of the Interior's website at doi.gov by OS to acquaint the public with the Department's managers, policies, and programs. They include a brief history of the Department, a photograph and biographical sketch of the current Secretary of the Department, photographs and biographical snapshots of all former Secretaries of the Interior, an explanation of the Department's mission, a listing of key Departmental officials, and a welcome to individuals visiting the website from the current Secretary of the Interior. They also include Spanish-language versions of the more significant of these documents as well as Spanish-language versions of selected speeches and public information releases. They do not include English-language speeches, which are covered by 2302, or English-language public information electronic releases, which are covered by 2301, or *People, Land and Water on the Web*, which is covered by 2306.

Disposition: Temporary. Cut off at end of each presidential administration. Delete 4 years after cut-off or when obsolete, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-8

**Item 3.5 – Newsmagazine Files.** These files contain copies of the newsmagazine, *People, Land and Water*, published by OS. Established in October of 1994 as the official employee newsmagazine of the Department of the Interior, *People, Land and Water* aims to share information across bureau lines in order to build on the work done by employees, recognize employees for outstanding work, convey policy decisions to employees and promote a better understanding of Interior's roles and responsibilities. Its news content is developed by the Department's component bureaus and offices and coordinated by the

Office of Communications. It is issued approximately 9 times a year, numbered by fiscal year in annual volumes and issues, and is distributed in bulk and through the U.S. Postal Service to employees nationwide.

Disposition: Permanent. Cut off at end of the fourth annual volume in each presidential term. Transfer to NARA after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-7

**Item 3.6 – DOI Press Clippings.** These files contain daily compilations of news articles and editorials relating to activities of the Department and its policies and programs of interest to senior Departmental employees, extracted from local, National, and international news sources. Files are archived annually by calendar year.

Disposition: Permanent. Cut off at end of each presidential administration. Transfer to NARA after cut-off in accordance with 36 CFR 1228.270.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-7

**Item 3.7 – Interior Radio Department News Service Files.** These files contain clusters of brief audio clips (“sound bites”) prepared to accompany OS press releases, and made available as a free public service from the Department’s website or from a toll-free telephone line. On the Department’s website, each cluster is identified by date and title, e.g., “10/15/2003 Secretary Norton Signs Historic Colorado River Water Pact,” and accompanied by an indication of the length (in playing time) of each included sound bite, a summary of its contents, and a text transcription of the actual audio recording. Files and accompanying text (index and transcriptions) are stored in CD/DVD format. Includes reel-to-reel sound recordings accumulated prior to adoption of the current digital system.

Disposition: Temporary. Cut off files at the end of each Secretarial administration. Destroy 2 years after cut-off or when no longer needed by agency, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-3

## **Section 4 – Executive Secretariat and Regulatory Affairs (OES)**

### **Item 4.1 – Document Production Files**

**Item 4.1.1 Congressional Document Production Files.** These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response to formal requests from Congressional Committees and Subcommittees. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question. They do not include the original copy of these documents, which remains within the originating bureau or office.

Disposition: Temporary. Cut off files at the end of each document production. Destroy 8 years after cut-off or at end of Administration, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-5

**Item 4.1.2 Litigation Document Production Files.** These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response to subpoena from the courts. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

Files do not include the original copy of these documents, which remain within the originating bureau or office.

Disposition: Temporary. Cut off files at end of each document production. Destroy 6 years after final settlement of lawsuit.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-5

### **Item 4.2 – Document Production Administrative Files.**

**Item 4.2.1 Congressional Document Production Administrative Files.** These files contain records relating to the collection and production of documents in response to Congressional document production requests. They include, but are not limited to: guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: Temporary. Cut off files at end of each document production. Destroy 8 years after cut-off or at end of Administration, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-5

**Item 4.2.2 Litigation Document Production Administrative Files.** These files contain records relating to the collection and production of paper documents in response to subpoena from the courts. They include, but are not limited to: guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: Temporary. Cut off at the end of each document production. Destroy 6 years after final settlement of lawsuit.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-5

**Item 4.3 – DOI Regulatory Actions Semi-Annual Update Files.** These files contain the Department's semi-annual submissions to the "Unified Agenda" for the Office of Information and Regulatory Affairs (OIRA), within the Office of Management and Budget (OMB). The Unified Agenda provides uniform reporting of data on regulatory and deregulatory activities under development throughout the Federal Government, in the fall and the spring of each calendar year. The fall edition of the Unified Agenda also contains each agency's Regulatory Plan.

Files contain printouts from the OMB's automated regulatory planning system and bureau and office "markups" (containing corrections/updates to the data contained in the OMB system). They may also contain documents from OMB providing guidance to federal agencies relating to the semi-annual update of their data, and documents from the Office of Executive Secretariat to the bureaus and offices conveying or providing similar guidance.

Disposition: Temporary. Cut off files semi-annually. Destroy 6 months after submission to OIRA or until receipt of next semi-annual print-outs, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

**Item 4.4 – DOI Regulations Development/Approval Files.** These files contain documents relating to the development and approval of regulations proposed by bureaus and offices within the Department. They include drafts of proposed regulations developed within the individual bureaus and offices, comments on these drafts made by OS offices and/or reviewing officials, and communications with the Office of Management and Budget regarding these proposals (to obtain a regulatory identification number, etc.). They do not include the record copy of these proposals, which remains within the originating bureau or office.

Disposition: Temporary. Cut off upon final publication in the Federal Register. Destroy 6 months after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

**Item 4.5 – Federal Register Chief of Staff Review Files.** These files contain records documenting the Chief of Staff's review of regulations proposed by bureaus and offices within the Department. They are surname copies of the final documents submitted, and may also contain a copy of clearance sheets documenting their approval by the originating bureau or office. They do not include the record copy of the bureau or office clearance sheets or regulations proposals (which remain within the originating bureau or office). They generally do not contain a copy of the signed Federal Register submission or of the notice as published in the Federal Register.

Files are maintained in notebooks organized by bureaus and offices originating regulations proposals. This series also includes copies of the above files maintained in electronic or other formats.

Disposition: Temporary. Cut off at end of calendar year. Destroy 4 years after cut-off or upon change of administration, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

**Item 4.6 – E-Rulemaking Files.** These files contain records documenting the Department's participation in the eRulemaking Initiative, a cross-agency E-Government effort (managed by the U.S. Environmental Protection Agency) that aims to transform the Federal rulemaking process by enhancing the public's ability to participate in the process electronically, e.g., in the development of a website that provides a way for the public to search, view and comment on proposed federal regulations open for comment. Included in these files are copies of documents distributed at eRulemaking Initiative meetings, documents summarizing or analyzing the outcome of such meetings, and documents prepared for distribution at such meetings, as well as communications relating to the scheduling of such meetings. Also included in these files are documents relating to the Department's interest in and involvement with e-rulemaking programs and systems developed by bureaus and offices within the Department, as, for example, those of the Bureau of Land Management and Minerals Management Service.

**Item 4.6.1 E-Rulemaking Initiative Meetings.** Documents directly related to eRulemaking Initiative meetings.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

**Item 4.6.2 Other E-Rulemaking Records.** Documents related to the e-Rulemaking program and systems within bureaus and offices.

Disposition: Temporary. Cut-off upon implementation. Destroy 2 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

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**Items 4.7 and 4.8:** These files contain records relating to the Department's compliance with the Regulatory Flexibility Act of 1980 (5 USC 601-612), which requires federal agencies to consider the effects of their regulatory actions on small businesses and other small entities and to minimize any undue disproportionate burden.

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**Item 4.7 – Regulatory Flexibility Act Complaint Files.** These files contain communications from small businesses, small not-for-profit organizations, or small governments filing complaints about the burden imposed upon their business, organization, or governmental operation because of specific Departmental regulations, and records documenting the Department's efforts to resolve these complaints.

Disposition: Temporary. Cut-off upon closure of complaint file. Destroy 2 years after cut-off, unless followed by court action. In case of lawsuit, destroy 6 years following resolution of the lawsuit.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

**Item 4.8 – Regulatory Flexibility Act Report Files.** These files contain annual reports submitted to the Small Business Administration (SBA), for inclusion into the Annual Report of the Chief Counsel for Advocacy of the SBA on Implementation of the Regulatory Flexibility Act, to Congress. This report documents the Department's efforts to comply with the act, including but not limited to an analysis of the Department's response to complaints filed under the Act. These files may also contain documents collected or compiled in preparing the report.

Disposition: Temporary. Cut off at end of calendar year. Destroy 4 years after cut-off or upon change of administration, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-2

## **Section 5 – Office of the Inspector General (OIG)**

**Item 5.1 – Policy Development and Support Files, Inspector General’s Files.** These files contain documents received, generated and maintained, in OS, to support the review, analysis and development of policy on issues of significance to the Department at the level at which they are collected. Typically, they consist of files, organized alphabetically by issue or topic, containing copies of documents including, but not limited to: correspondence; reports; legal analyses and court documents; briefing papers and talking points; memoranda; meeting agenda, handouts, and summaries; email communications; and hand-written notes.

Generally, these files reflect the broad scope of issues on which the primary official on whose behalf they are collected and maintained was consulted or engaged during his/her tenure with the Department. They do not include the development of policy on single issues (e.g., Privacy Act policy) or groups of closely-related issues (e.g., policies issued by the Chief Information Officer) maintained by agency officials charged with managing these programs; these records are covered by subject-specific schedules.

These files are maintained on behalf of the Inspector General.

Disposition: Permanent. Cut off at end of agency official’s tenure. Maintain in office of record 4 years after cut-off, then retire to Records Center. Transfer to NARA 8 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY  
N1-048-06-03

## **Section 6 – Office of the Chief Information Officer (OCIO).**

The Office of the Chief Information Officer (OCIO) at the Department of the Interior (DOI) is responsible for providing policy, guidance, advice and oversight for IT security, while the senior official for IT systems at each bureau is responsible for the security and protection of bureau IT systems.

**Item 6.1 – Cyber Security Program.** The OCIO's Computer Security Program is responsible for ensuring bureau and office compliance with Federal system and program IT security requirements, collaborating with the Department's enterprise architecture to ensure the implementation of sound security infrastructure for all DOI IT systems, and creating IT security policies, directives, standards, technical bulletins, guidelines, processes, and procedures for compliance with FISMA, OMB Memorandums and Circulars, GAO, and industry standards and best practices.

**Item 6.1.1 Critical Infrastructures.** These files concern the identification, prioritization, and protection of critical infrastructures in the Cyber Security Division, as outlined by the December 17, 2003 Homeland Security Presidential Directive/Hspd-7 (Critical Infrastructure Identification, Prioritization, and Protection).

Disposition: Temporary. Cut off files upon the formal conclusion of the project or issue. Destroy 5 years after cut-off or when no longer needed for agency business, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

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**Item 6.1.2 through 6.1.4: The OCIO is responsible for maintaining Certification and Accreditation (C&A) on DOI systems and the accompanying documentation such as system inventory, system security plans, C&A packages, contingency plans, assessments, and authorizations for the system to operate.**

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**Item 6.1.2 System Certification & Accreditation (C&A) Files.** These files include documents created in the process of generating official C&A documents, such as C&A packages and Command Center System Files. Records include: presentations, graphs, and charts; memos, emails, and faxes; meeting notes, meeting agendas, and C&A summary reports; methodology, checklists, frameworks, and C&A process; systems inventories; and Privacy Impact Assessments.

Disposition: Temporary. Cut-off at end of each system's life-cycle. Destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08



**Item 6.1.3 C&A Documentation Files.** Consists of Certification and Accreditation packages created by OCIO. These files include copies of records relating to system security, including records documenting periodic audits or review and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Arranged by bureau, then by system.

Disposition: Temporary. Cut off after the end of each system's life-cycle. Destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.4 – C&A “Command Center” System .** These records include the master copy of data held by the C&A Command Center for the maintenance, coordination, and administration of C&A functions.

Disposition: Temporary. Cut off at the end of the system's (Command Center's) life-cycle if all other active data has been migrated to any replacement information management system. Destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

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**Item 6.1.5 through 6.1.7: The CSD covers all activities that contribute to the delivery of Plan of Action & Milestones (POA&M) reports to OMB and provides support to Bureau IT Security Managers (BITSMs) to assist in their effort to manage and remediate weaknesses and vulnerabilities to IT systems. CSD provides a consolidated quarterly package to the CIO for submission to OMB.**

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**Item 6.1.5 Quarterly Plan of Action & Milestones (POA&M) Package.** These files contain supporting information for the Cyber Security Program quarterly POA&M report.

Arranged by fiscal year then OMB reporting quarter.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.6 POA&M Bureau/Office Data Files.** These files include data and information from bureaus and program offices supporting POA&M reports.

Arranged by fiscal year, OMB reporting quarter, bureau, then by system.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.7 POA&M Exhibit 300's.** These files contain reviews for compliance with Exhibit 300 (Capital Asset Plan and Business Case Summary) of OMB Circular A-11, Part 7-Planning, Budgeting, Acquisition, and Management of Capital Assets.

Arranged by fiscal year then OMB reporting quarter.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

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**Items 6.1.8 through 6.1.10: The OCIO is responsible for maintaining incident coordination center files such as incident monitoring and reporting documentation. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.**

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**Item 6.1.8 Computer Incident Files.** Files contain records of incidents and incident management within the Cyber Security Program. These include weekly teleconference minutes concerning incident reports and analyses; weekly vulnerability notices and alert; annual analyses of system vulnerability and proposed prevention for future incidents; and incident reports and summary reports generated on a weekly, monthly, and annual basis.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. Destroy 3 years after all necessary follow-up actions have been completed.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.9 Incident Files – Supporting Documents.** These files contain general records generated as supporting documents and working files for the creation of

incident reports, summaries, and other official documents; included are correspondence via email or memoranda, notes, charts and graphs, and other miscellaneous documents.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. Destroy 3 years after all necessary follow-up actions have been completed.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.10 – Cyber Security Program, Incident Tracking System.** Files contain documents relating to the Incident Tracking System, which tracks and monitors incidents and incident trends. Includes master copy of data used and maintained by the system.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. Destroy 3 years after all necessary follow-up actions have been completed.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.11 Cyber Security Program Reports.** The primary objective of the CSD program reports is to ensure bureau and office compliance with Federal System and Program IT Security requirements and prepare them for external audits through consistent assessment and feedback. Compliance reporting assures regulatory agencies (e.g., Congress, OMB, GAO) that the Agency continually maintains security on their IT systems.

CSD is responsible for maintaining program reports files including (but not limited to): monthly Congressional scorecards, annual Federal Information Security Management Act (FISMA) reports, monthly Interior IT scorecards and presentations, Internal Control Reviews (ICR), Performance Accountability Reports (PAR) and Assurance Statements, OIG test, evaluation, and compliance reports, and annual assurance statements.

Reports received:

Disposition: Temporary. Cut-off on the date of report. Destroy when no longer needed for agency business.

Reports issued and supporting documentation.

Disposition: Temporary. Cut-off on the date the report is issued. Destroy five (5) years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS  
PROVIDED BY N1-048-06-08

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**Items 6.1.12 through 6.1.15: The OCIO is responsible for maintaining documentation of pending court cases relevant to the Cyber Security Division. These files include court orders, court actions, and reports to the court. These files contain copies of court or litigation-related documents affecting the security posture of the Department.**

**These files are classified as Indian Fiduciary Trust (IFT) records.**

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**Item 6.1.12 Court Order Files.** These files contain CSD copies of court orders that directly impact Cyber Security policy and procedures. These files also include site visits to ensure compliance with court orders.

Arranged by Bureau.

Disposition: Permanent. Cut off upon closure of the related case or any related appeals. Retain for a maximum of 6 years after cut-off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS  
PROVIDED BY N1-048-06-08

**Item 6.1.13 Court Action Files.** These files contain CSD copies of court actions affecting Cyber Security policy and procedures. This does not include correspondence regarding CSD policies or the development of policies/procedures.

The official copies of court actions are maintained, along with all litigation records, by the Office of the Solicitor (N1-048-07-02 and N1-048-07-03).

Arranged by Bureau.

Disposition: Temporary. Cut off upon closure of the related case or any related appeals. Destroy 6 years after cut-off or when no longer needed for agency business, whichever is later.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS  
PROVIDED BY N1-048-06-08

**Item 6.1.14 Reports to the Court.** These files contain CSD reports to the court on cyber security progress and development, as required by court orders and

actions. Documents created in generating the reports are included under this item. These files also include requests to reconnect and other associated requests.

Arranged by Bureau.

Disposition: Permanent. Cut off upon closure of the related case or any related appeals. Retain for a maximum of 6 years after cut-off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.1.15 Input to Workings of the Court.** These files contain working copies and supporting documents used for the generation of quarterly reports to the court. Included are reports from bureaus and offices to be included in the quarterly report.

Arranged sequentially according to court assigned quarters.

Disposition: Permanent. Cut off upon closure of the related case or any related appeals. Retain for a maximum of 6 years after cut-off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-08

**Item 6.2 – Year 2000 (Y2K) Computer Century Conversion Activities.** Exclusions: Y2K documentation for a specific computer system (file and dispose of with specific system documentation; see 1400); record copy of directives issued (General Records Schedule 16/1a).

**Item 6.2.1 Y2K Policy and Planning Records, Official Copy.** Records created or approved by the agency head or by the heads of program offices that document efforts taken to identify potential problems, assess risks, and implement strategies for agency Y2K compliance and contingency. Records include reports outlining overall strategies, project plans, risk assessments, priority listings, disaster recovery plan/continuity of operations plan covering this time period, system identification criteria, minutes of meetings and discussions, checklists, and summary progress reports.

Records are maintained by office managing overall agency Y2K compliance effort, arranged alphabetically by subject.

Disposition: Temporary. Cut off at end of year of project completion. Retire to WNRC 1 year after cut-off. Destroy 15 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

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**Item 6.2.2 – 6.2.3: Records associated with all administrative aspects of Y2K projects, including budgeting, resource allocation, logistics, unit level project management, feeder status and progress reports, status tracking documentation, system inventories, training and briefings and related materials.**

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**Item 6.2.2 Y2K Budget and Supplemental Funding Documents.** Includes Budget estimates, documents tracking resource allocation and expenditures for Year 2000 supplemental funding, and all associated guidance and justification. Documents are arranged alphabetically by bureau or office name within two categories: budget estimates, and allocation/expenditure documents.

Disposition: Temporary. Cut off at end of year after project completion. Retire to WNRC 1 year after cut-off. Destroy 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.2.3 Y2K Planning and Implementation Materials for Day One Period.** For awareness and public affairs projects; and for interagency working groups of which agency was a member, but was not the lead agency.

Disposition: Temporary. Cut off at end of year after project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

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**Item 6.2.4 & 6.2.5: Records that document analyzing, modifying, testing, compliance, and verifying systems for Y2K compliance. Includes certificates of verification and approvals.**

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**Item 6.2.4 Actions Taken for Systems.** These records include summary records pertaining to the analysis of actions taken for specific systems, such as: configuration and design analyses, application of selection criteria, changes made to system, revisions or additions to systems documentation, and final reports or audits of system status. Typically document justifications to repair, retire, or replace system in relation to Y2K concerns.

Disposition: Temporary. Cut off files at project completion. Retire to WNRC 1 year after cut-off. Destroy 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.2.5 Revision, Testing, and Validation of Systems.** Includes detailed records of the revision, testing, and validation of a specific system or group of systems, such as: listings of potential problems, test plans, test data, test procedures and results, final validation results, and quality assurance reviews.

Disposition: Temporary. Cut off at project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.2.6 Y2K Audiovisual Materials.** Posters prepared for and issued within the Department of the Interior to inform employees of Y2K activities. Videotape of Y2K public awareness events.

Official record copy includes 2 copies each poster or videotape.

Disposition: Permanent. Transfer to NARA upon approval of this schedule. Item without enduring value will be destroyed during processing under appropriate GRS 21 authorities.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.2.7 Y2K Website Content Records.** Electronic copies of documents such as press releases, directives, publications, Y2K planning documents, status updates, and list of responsible persons. The disposition of the recordkeeping copies of these is provided for elsewhere in this schedule or other agency records schedules.

Disposition: Temporary. Cut off after removal from DOI Home Page. Destroy 3 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.2.8 Y2K Website Management Records.** Recordkeeping copies of correspondence, reports, studies, issuances, and graphic design records relating to the overall development, construction, and management of the site or those used to

administer the site.

Disposition: Temporary. Cut off files at project completion. Retire to WNRC 1 year after cutoff. Destroy 3 years after cutoff.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-01-03

**Item 6.3 – Metric Conversion Act Files.** The OCIO within OS was responsible for facilitating and coordinating Department-wide efforts for compliance with the Metric Conversion Act of 1975. This Act, and its related amendments, mandated a voluntary conversion of the Federal Government to the metric system. The contents of these files, dating from approximately 1990 through 1998, total less than 1.0 cubic foot and include, but are not limited to: copies of the Metrics Conversion Act and amendments; Department Manuals; submissions for the Annual Report to Congress; meeting records of the "Interior Metric Work Group" and the "Interagency Council on Metric Policy"; communications in the form of e-mails, memoranda, and letters; plans; training records; and research.

Disposition: Temporary. Cut off upon program closure or on the last date of program activity. Destroy 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-05

**Item 6.4 Section 508 (Electronic Information Technology Accessibility) Complaint Files.** The OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with Section 508 of the Rehabilitation Act (29 U.S.C. 794D), as amended. Under Section 508, Federal agencies are required to ensure that they develop, procure, maintain and use accessible electronic information technology. Each bureau and office within the Department is responsible for developing and implementing a program that is compliant with Section 508.

These files contain records relating to the adjudication of Section 508 complaints, which are processed by the OCIO. Case file records include, but are not limited to: formal communications to and from complainants; e-mail messages to and from electronic information technology providers and operators; notes regarding findings; and any other records pertinent to the resolution of Section 508 complaints.

Disposition: Temporary. Cut off at issuance of final agency letter issued in response to complaint. Destroy 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-5



**Item 6.5 – Section 515 (Quality of Government Information) Files.** The Office of the Chief Information Officer (OCIO) within the Office of the Secretary is responsible for facilitating and coordinating Department-wide compliance with Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001, Public Law 106-554, which requires federal agencies to issue procedures to ensure and maximize the quality, utility, objectivity, and integrity of government information disseminated to the public. Each bureau and office within the Department is responsible for developing and implementing a program that is compliant with Section 515.

**Item 6.5.1 Section 515 Complaint Files.** These files contain records relating to the adjudication of Section 515 complaints received by the OCIO. Case file records include, but are not limited to: formal communications to and from complainants; communication to and from program office(s) disseminating the information being challenged; documents detailing findings; and any other records pertinent to the appeal and/or resolution of Section 515 complaints.

Disposition: Temporary. Cut off at issuance of final agency letter issued in response to complaint. Destroy 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS  
PROVIDED BY N1-048-06-05

**Item 6.5.2 Section 515 Annual Information Quality Reports.** Information Quality Reports submitted annually to OMB.

Disposition: Temporary. Cut off upon submission of report. Destroy 15 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS  
PROVIDED BY N1-048-06-05

## **Section 7 – Take Pride in America**

These files contain records documenting the Take Pride in America program. This program, originated in 1985 by Secretary Donald Hodel, and re-launched in 2003 by Secretary Gale Norton under the U.S.A. Freedom Corps, is a national partnership, coordinated by the Office of the Secretary, that recruits, supports and recognizes volunteers who work to improve public parks, forests, grasslands, reservoirs, wildlife refuges, cultural and historic sites, local playgrounds, and other recreation areas. It involves federal, state and local governments; conservation, youth and recreation groups; and top national corporations and organizations in protecting and enhancing the public lands managed by federal, state, and local governments that together include more than one in every three acres of the United States.

**Item 7.1 – Award Files.** These files contain records on individuals and organizations nominated for Take Pride in America awards. Information contained in these files include the names of individuals/organizations being nominated, plus contact information; category of award, name and contact information for persons submitting nominations; description of project or activity which forms the basis for the award; location of project or activity, State, ownership, U.S. Congressional District; length of project or activity; subject area/type of project; total volunteer hours donated, total number of people involved; description, objective, results, outcomes; community or partnership references and sources of funding or materials donations; and other information necessary to manage the public awareness component of the Take Pride in America program.

Records relating to individuals in these files are covered by Privacy Act System of Records Interior/OS-14: "Take Pride in America System."

### **Item 7.1.1 Records relating to nominees selected as winners and finalists for awards.**

Disposition: Permanent. Cut off at end of award year. Transfer to NARA 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-12

### **Item 7.1.2 Records relating to nominees not selected for awards.**

Disposition: Temporary. Cut off at end of award year. Destroy 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-12

**Item 7.2 –Promotional Materials.** These files contain materials produced for public distribution that have been designed to raise public awareness of the program. These files contain printed materials produced for public distribution that have been designed to raise

public awareness of the program. These files also include outreach letters, packages and press kits.

Disposition: Permanent. Cut off at end of award year. Transfer record copy to NARA 10 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-12

**Item 7.3 – History Files.** These files contain records, primarily from the 1990s, documenting the early years of the Take Pride in America program. These records are organized by topic in three-ring binders.

Disposition: Permanent. Cut off at end of term of Secretary Manuel Lujan, Jr. (January 20, 1993). Transfer to NARA 20 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-12

## **Section 8 – Office of Human Resources**

### **All Items: Firefighter and Law Enforcement Retirement Team (FLERT) Files.**

The Firefighter and Law Enforcement Retirement Team (FLERT) was established by the Department of the Interior in 1997 to review and make recommendations concerning the eligibility of individual claims and position descriptions for special Firefighter and Law Enforcement Officer (FF/LEO) retirement coverage for the Bureau of Land Management, the National Park Service, the U.S. Fish and Wildlife Service, the Bureau of Indian Affairs, the Aircraft Management Directorate of the National Business Center, the Bureau of Reclamation, the Office of the Inspector General, and the Office of the Secretary. FLERT manages the FF/LEO Special Retirement Program for the Department's Office of Human Resources.

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### **Items 8.1 - 8.3: Special Retirement Claims for Firefighters and Law Enforcement Officers.**

**Firefighters and Law Enforcement Officers (FF/LEO) covered by the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS) are eligible for voluntary retirement or an immediate annuity upon meeting certain requirements defined in 5 U.S.C. 8331 (21); 8335(b); 8336(c); 8401 (14); 8412(d); 8425. These files document the status of claimants' requests for coverage and retirement under special provisions for FF/LEOs covered by the above laws.**

**Note: these records are subject to the provisions of the Privacy Act**

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**Item 8.1 Special Retirement Claims Case Files.** Records documenting the status of claimant's request, judicial proceedings, and appeal status including: all correspondence, memoranda, final administrative determinations and documents relating to further judicial proceedings.

Disposition: Temporary. Cut off case files at end of the fiscal year in which they are closed. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.2 Special Retirement Claims Appeals Files.** Case files of denied claims that have been appealed but not overturned. In addition to the original case file documents, these files contain correspondence and documents relating to further judicial proceedings and appeals that result from the denial of a claim.

Disposition: Temporary. Cut off appeal case files at the end of the fiscal year in which appeals are closed. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.3 Special Retirement Claims Court Decisions.** Records of judicial proceedings regarding individual case files.

Disposition: Temporary. Cut off court decisions case files at the end of the fiscal year in which final court decisions are issued. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.4 FF/LEO Denied Position Descriptions Files.** Job descriptions submitted by bureaus and offices within the Department of the Interior that have been disapproved by FLERT.

Disposition: Temporary. Cut off after position is denied. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is longer. (GRS 1-7b)

This item extends the standard GRS disposition for these records.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.5 FLERT Newsletters.** "Quarterly" newsletter, entitled "The Extra ½%," providing information on FLERT programs including issues, decisions, and training programs available to FF/LEOs.

This series covers only the official record copy.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

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**Items 8.6 & 8.7: FLERT Advisory Board Files.**

**These files contain records created by and for the FLERT Advisory Board. The FLERT Advisory Board is composed of members from each serviced bureau/office within the Department of the Interior, e.g., the Bureau of Land Management, the National Park Service, the U.S. Fish and Wildlife Service, the Bureau of Indian Affairs, the Aircraft Management Directorate of the National Business Center, the Bureau of Reclamation, the Office of the Inspector General, and the Office of the Secretary. The FLERT Advisory Board provides program guidance to the**

**Firefighter and Law Enforcement Retirement Team and makes decisions on organizational and operational issues.**

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**Item 8.6 FLERT Advisory Board Decisions.** These files contain records documenting significant decisions made on organizational and operational issues, and other records constituting the official record of the FLERT Advisory Board.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.7 FLERT Advisory Board Administrative Files.** These files contain records documenting meetings and other activities/actions of the FLERT Advisory Board. They include, but are not limited to: routine correspondence, agendas and minutes of meetings, records documenting routine decisions on organizational and operational issues, scheduling and attendance records, and Board Member appointment records.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.8 – Firefighter and Law Enforcement Retirement System (FLERS) Files.** FLERS is an electronic database that captures statistical data documenting the activities related to the operation of the FLERT office. The database is used to compile statistical data on the claimants and on the job descriptions processed. It is composed of two parts: the claimants' records and the list of positions for which the special retirement provisions for FF/LEOs apply. The FLERS database system is a custom application of a commercial, off-the-shelf database system.

The master data file is composed of claimants' records and the list of positions for which the special retirement provisions apply. The claimant section contains personal information about individual claimants (name, Social Security Number, birth date, address, etc.) and their status within the FF/LEO Retirement System (eligibility, retirement date, agency, CSD number, retirement plan, other claims, etc.). The position description section contains detailed information about specific positions within FLERS including: position name, official title, organization title, pay plan, job series, grade, position status, retirement group, retirement plan, bureau, subunit, coverage, approved by, and position reference file.

Note: These records are subject to the provisions of the Privacy Act.

**Item 8.8.1 FLERS Master File Personal Data (in Claimant Records).**

Disposition: Temporary. Cut off at the end of the fiscal year in which claimant's records are first input into the system. Destroy 5 years after claimant's death or 50 years after cut-off, whichever is sooner.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

**Item 8.8.2 FLERS Master File Statistical Data and Position Data.**

Disposition: Temporary. Retain for the life of the FF/LEO Special Retirement Program plus 5 years.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-02

## **Section 9 – National Business Center**

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### **Items 9.1 & 9.2: Indirect Cost Services (ICS) Files.**

**The Indirect Cost Services (ICS) office of the National Business Center, within OS, negotiates indirect cost rates and provides guidance on indirect cost proposals submitted by contractors and grant recipients on behalf of non-Federal entities (such as Native American tribal governments, state and local governments, territorial governments, and non-profit organizations) for which the DOI is their cognizant agency, i.e., entities that receive the majority of their funding through the DOI. The indirect cost rate is the percentage of indirect costs (overhead/administrative costs) that a contractor or grantee can recover for administering programs that are mandated or authorized by the federal government.**

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**Item 9.1 – ICS Negotiated Agreements.** Submissions and original copies of the signed Indirect Cost Agreement negotiated by the ICS, including applicable exhibits, schedules and certificates. Identified by name of organization, assignment number, and year or years rates were negotiated.

Disposition: Temporary. Cut off on date of signing. Destroy 3 fiscal years after cut-off or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is initiated. In the event of litigation, claims or audits, Destroy 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-06

**Item 9.2 – ICS Supporting Documentation.** Documents submitted to the ICS to support the Indirect Cost Agreement including, but not limited to, audited financial statements, accounting schedules, and applicable certificates.

Disposition: Temporary. Cut off on date of (or yearly anniversary of date of) signing of agreement to which documents are applicable. Destroy 3 fiscal years after cut-off or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is initiated. In the event of litigation, claims or audits, destroy 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-06

**Item 9.3 – Photographic Records.** These files document the work of Departmental officials in OS and provide a photographic record of OS events, facilities and programs. The files contain images and accompanying finding aids.



**Item 9.3.1 Office of the Secretary Photographs.** Images encompassing portrait views of the Secretary, Deputy Secretary, Assistant Secretaries, Directors of Interior Bureaus, and other leading Department officials; photographs documenting swearing-in events, confirmation hearings, press conferences, Congressional testimony, policy meetings and conferences, program launchings, official inspection and investigation trips, historic ceremonies, and other major events featuring such officials; photographs documenting Departmental facilities construction, renovation, and expansion; photographs documenting visits to Departmental sites of political, military, and cultural dignitaries; photographs documenting program implementation in the field, and other subjects bearing on the unique responsibilities of the Department and its component bureaus and offices.

Arranged first by Secretary's tenure, and secondly, by assignment number sequence corresponding to coverage chronology.

Disposition: Permanent. Cut off at the end of fiscal year in which photo/image is created. Transfer to NARA 1 year after cut-off in accordance with 36 CFR 1237.28.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-04

**Item 9.3.2 Photography Logs.** Logs of each photography session, including date, subject, photographer, requesting office and assignment number.

Disposition: Permanent. Cut off at the end of fiscal year in which photo/image is created. Transfer to NARA 1 year after cut-off in accordance with 36 CFR 1237.28

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-04

## **Section 10 – Office of Valuation Services.**

These files contain records maintained by Office of Valuation Services that document the work of OVS in providing real property appraisal services both to internal agency clients (the bureaus and offices that comprise the Department of the Interior) and to external clients (e.g., other Federal agencies). They contain the signed record (or “true”) copy of all valuation products prepared by and for the OVS. They do not contain the signed copies (or “originals,” typically 3 in number) of valuation products that are provided to client agencies. These records are covered by the client agencies’ respective records schedules, and are generally filed with other records relating to the actions for which the real property appraisal services were requested and performed.

**Item 10.1 Valuation Services Policy and Guidance Files.** These files contain the record copy of formal real property appraisal services policy and guidance documents issued by the Office of the Chief Appraiser. Policy and guidance documents are numbered chronologically in accordance with established conventions and remain in effect until formally superseded or deleted.

Informal or routine guidance is covered by 1203 Technical Advice/Guidance Files (N1-048-08-22).

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

**Item 10.2 Service-Level-Agreements Files.** These files contain *copies* of service level agreements negotiated with client agencies (both within and outside of the Department of the Interior) for the provision of real property appraisal (and other) services. These agreements are generally in effect for a period of no longer than three years, and are filed in the Office of the Chief Appraiser, and in Regional Offices of the OVS, as applicable, by customer name and/or number. (Note: This schedule does not cover the record copy of these agreements, which is maintained elsewhere.)

Disposition: Temporary. Cut off at expiration of agreement. Destroy 3 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

**Item 10.3 Case/Work Files.** Case/work files contain paper and electronic records documenting real property appraisal services prepared by and for OVS. They contain a complete history of the requested actions, along with all other data, information, and documentation necessary to support the appraiser’s opinions and conclusions and to show compliance with all Uniform Standards of Professional Appraisal Practice (USPAP) applicable to the specific type of appraisal service and valuation product provided, along

with any other applicable standards, regulations, or legal requirements, e.g., the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA). Case/work files include, but are not limited to: copies of client requests for appraisal services; instructions for agency staff appraisers, contract appraisers, or 3<sup>rd</sup> party appraisers; invoices for vendor services; pre-appraisal conference (and other meeting) notes; field notes; subject data from realty specialists (legal descriptions, title reports, maps, zoning, land use descriptions etc.); correspondence with realty specialists, owners/proponents, and/or appraisers; analyses; supplemental data; summaries of any written reports or testimony, or a transcript of testimony; and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews, and consulting reports. They are numbered organized and filed by ARRTS number in central files in OVS offices.

Disposition: Temporary. Cut off files upon completion of final report or other valuation product/service requested. Destroy 5 years after cut-off, or 2 years after final disposition of any judicial proceeding in which the appraiser provided testimony related to the assignment, or until no longer needed for official business, whichever is longer.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

**Item 10.4 – Appraisal Request & Review Tracking System (ARRTS).** These files contain records relating to the Appraisal Request & Review Tracking System (ARRTS), the Department of the Interior's web-based application to provide a common form for submission of real property appraisal services requests to OVS. The system also provides a process for forwarding requests for valuation products for approval and assignment (to the appropriate staff in OVS), a mechanism for tracking and reporting on these requests, and a vehicle for capturing the results of the real property appraisal services provided.

Master data files contain data identifying the client agency requesting real property appraisal services from OVS, and the OVS approving and reviewing officials for the request in question; data relating to the owner and location (state, county and legal description) of real property at issue; specification of property rights to be appraised; appraisal results; revenue source and funding code for payment of services rendered; and cost of services rendered. Master files also contain metadata related to request records, e.g., unique ARRTS number assigned to each individual request. Image files linked with master data files contain images of documents associated with requests for services and images of valuation products provided to client agencies in response to requests.

Disposition: Temporary. Cut off at final updating of record. Archive to inactive storage media 25 years after cut-off. Destroy 75 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01